

# Archived Information

**U.S. Department of Education  
Office of Elementary and Secondary Education  
Washington, DC 20202-6200**

## **Application for an Improving Literacy Through School Libraries Grant**

**CFDA Number 84.364A**



**Closing Date**

**April 11, 2006**

**Approved OMB Number: 1890-0009**

**Expiration Date: 6/30/2008**

**Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0009. The time required to complete this information collection is estimated to average 30 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651.

## Introduction

This is a complete application package for applicants seeking **Fiscal Year (FY) 2006** funding under the Improving Literacy Through School Libraries Program, authorized under Title I, Part B, Subpart 4, section 1251 of the No Child Left Behind Act of 2001.

We award competitive grants to eligible LEAs to improve the reading achievement of students by providing them with access to up-to-date books and school library materials; technologically advanced school library media centers; and professionally certified school library media specialists.

**The FY 2006 appropriation for this program is approximately \$19,400,000. We anticipate making 100 awards ranging from \$30,000 to \$300,000.**

## Program Description

The Improving Literacy Through School Libraries (LSL) Program promotes comprehensive local programs to improve student reading achievement by improving school library services.

School libraries can play a key role in improving literacy when collaboration among instructional and school library media staff is strengthened, instructional materials and resources aligned with the local curriculum are added, and student access to libraries is increased by the extension of school library hours of operation.

What makes a well-designed and effective school library media program?

- Book collections and other media resources that are aligned with the curriculum; are well-stocked and varied; and reflect the collaborative efforts of teachers and school library media specialists.
- Opportunities for students to use the library before and after school (as well as on weekends) and use technology to improve access while in school.
- School library media specialists that work closely with teachers in curriculum planning and with students in using their library skills to improve academic achievement.
- Technology which provides computer access to resources outside the school, including other libraries, as well as university and public libraries.

While ongoing research is expected to provide further information, studies already demonstrate a positive relationship between effective school library media centers and student achievement in reading.

# Eligibility

The statute specifies that eligible applicants are Local Educational Agencies (LEAs) in which at least 20 percent of the students it serves are from families with incomes below the poverty line.

## 1) Local Educational Agency

The applicant must be an LEA, as defined in section 9101 of the Elementary and Secondary Education Act. Generally, State Educational Agencies (SEAs) designate LEAs for purposes of Federal education programs. Listed below are the types of school districts that may apply for the program and the information they are required to provide in their application. School districts are the most familiar form of LEAs. School Districts applying for this program must provide, in the Eligibility Form, their National Center for Education Statistics (NCES) district identification number from the Common Core of Data (CCD) as can be found on the NCES Web site: <http://nces.ed.gov/ccd/districtsearch/>

- Some charter schools in some states such as AR, AZ, CA, CT, DE, IL, IN, LA, MA, MI, MN, NC, NH, NJ, NY, OH, PA, TX, UT, WI, and Washington, DC are also considered LEAs. Charter Schools should check with their chartering agency to see if they are considered an LEA. Charter Schools applying for this grant must include information on their LEA designation in the abstract of their application.
- Regional Service Agencies in many states are considered LEAs by the SEA. These entities may apply as part of a consortium with eligible LEAs in their service areas. They may also apply directly for the districts they administer if they meet the family poverty eligibility requirement discussed below. Regional Service Agencies must provide, in the Eligibility Form, a clear listing of all districts who are participating in their application as well as the districts' NCES identification numbers.
- State Administered Schools, such as Schools for the Deaf and the Blind, State Arts Schools, etc., may also be eligible to apply if they are considered LEAs by the SEA. State Administered Schools applying for this grant must include information on their LEA designation in the abstract of their application as well as their NCES identification number on the Eligibility Form.

## 2) Family Poverty Rate

The second eligibility criterion is that the LEA must have at least 20% of its students from families below the poverty line. The family poverty rate is the base poverty rate. It is based on Census Bureau data. (Note: this is not the same as free and reduced priced lunch statistic and is usually a much lower percentage.)

- School district family poverty rates are posted on the web at <http://www.ed.gov/programs/lsl/eligibility.html> for each competition. If a

school district's family poverty rate is 20% or above it is eligible to apply. School districts must provide their family poverty rate on the Eligibility Form.

- Charter Schools that are considered LEAs must have their family poverty rate computed by the SEA, Federal Program, or Title I office. You must contact that office in your State to have them compute the family poverty rate for your organization. Note: a charter school must meet the eligibility requirement of at least 20 percent of the students served from families with incomes below the poverty line. The correspondence with the State Education Agency must be included in the application.
- Regional Service Units that are LEAs applying for districts they administer must have the family poverty rate computed for those districts. They need to contact the SEA, Federal Program, or Title I office. If the computed family poverty rate is 20% or above *for each LEA*, the regional service unit is eligible to apply. Regional Service Units must provide a clear listing of all districts applying for program funding, as well as their family poverty rates, on the Eligibility Form.
- A State Administered School that is an LEA must have the family poverty rate computed for that school. The school needs to contact the SEA, Federal Program, or Title I office. If the computed family poverty rate is 20% or above, the school is eligible to apply. State Administered Schools must include information on their family poverty rate in signed documentation from their SEA, and include the information on the Eligibility Form.

## **Application Deadline**

The deadline for submitting an application is **April 11, 2006**. You should review the instructions in this application package for meeting this deadline.

**Applications for grants under the Improving Literacy Through School Libraries program must be submitted electronically using the U.S. Federal Government's Grants.gov system, accessible at: <http://www.grants.gov>.**

## **Program Priority and Selection Criteria**

### ***1) Invitational Priority***

The program has established an invitational priority in its Notice Inviting Applications in the appendix of this package. The Secretary strongly encourages applicants to focus their efforts on elementary schools to maximize the impact of the project on improving reading achievement. Under 34 CFR 75.105 (c) (1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

## 2) *Selection Criteria*

Each proposal will be reviewed by three peer reviewers outside ED. Reviewers will be asked to score applications based upon the selection criteria identified below and to make an overall recommendation regarding each proposal. Reviewers will evaluate applications solely on the basis of the criteria identified below. The maximum score for all of these criteria is 100 points. The maximum score for each criterion is indicated in parentheses.

We evaluate an application by determining how well the proposed project meets the following provisions:

(a) Meeting the purpose of the statute (10 points).

How well the proposed project addresses the intended outcome of the statute: to improve student reading skills and academic achievement by providing students with increased access to up-to-date school library materials; a well-equipped, technologically advanced school library media center; and well-trained, professionally certified school library media specialists. (Note: *the statute is in Appendix C.*)

(b) Need for school library resources (10 points).

How well the applicant demonstrates the need for school library media improvement, based on the age and condition of school library media resources, including book collections; access of school library media centers to advanced technology; and the availability of well-trained, professionally certified school library media specialists, in schools served by the applicant.

(c) Use of funds (50 points).

How well the applicant will use the funds made available through the grant to carry out one or more of the following activities that meet its demonstrated needs-

1. Acquiring up-to-date school library media resources, including books.
2. Acquiring and using advanced technology, incorporated into the curricula of the school, to develop and enhance students' skills in retrieving and making use of information and in critical thinking.
3. Facilitating Internet links and other resource-sharing networks among schools and school library media centers, and public and academic libraries, where possible.
4. Providing professional development (as described in the notice of final clarification of eligible local activities published in the Federal Register on April 5, 2004 (69 FR 17894)) for school library media specialists, that is designed to improve literacy in

grades K-3, and for school library media specialists as described in section 1222(d)(2) of the ESEA, and providing activities that foster increased collaboration between school library media specialists, teachers, and administrators. (Note: *See Definitions in Appendix C.*)

5. Providing students with access to school libraries during non-school hours, including the hours before and after school, during weekends, and during summer vacation periods.

(d) Use of scientifically based research (10 points).

How well the applicant will use programs and materials that are grounded in scientifically based research, as defined in section 9101(37) of the ESEA, in carrying out one or more of the activities described under criterion (c) above. (Note: *See Definitions in Appendix C.*)

(e) Broad-based involvement and coordination (10 points).

How well the applicant will extensively involve school library media specialists, teachers, administrators, and parents in the proposed project activities and effectively coordinate the funds and activities provided under this program with other literacy, library, technology, and professional development funds and activities.

(f) Evaluation of quality and impact (10 points).

How well the applicant will collect and analyze data on the quality and impact of the proposed project activities, including the extent to which the availability of, the access to, and the use of up-to-date school library media resources in the elementary schools and secondary schools served by the applicant increase; and the impact of the project on the reading skills of students.

# Proposal Preparation Instructions

## *Application Format and Length*

The application must include the following sections:

### **Contents of the Application**

#### **1) Application for Federal Assistance–Standard Form 424 and the ED Supplement to the SF 424 Form**

This page identifies the applicant (LEA), project director and authorizing official. In most cases, the authorizing official is the District Superintendent. It also tells the Department which program (CFDA 84.364A) you are applying for. It is very important to read the instructions and provide all requested information in the appropriate spaces, including email addresses.

#### **2) Table of Contents**

The Table of Contents shows where and how the important sections of your proposal are organized.

#### **3) Abstract**

The abstract should include a concise description of the project objectives and activities, and provide the number of schools, grade levels, and number of students to be served. Attach the abstract to the ED Abstract form found in the application package downloaded from Grants.gov.

#### **4) Eligibility Form**

Please fill out the attached eligibility form. This form allows us to correctly identify your school district and your eligibility for program funding. Copy and Paste the Eligibility form found in this instructions document; complete the form; and attach it to the Other Attachments Form found in the application package downloaded from Grants.gov.

#### **5) Program Narrative**

This up-to-15-page narrative responds to the program selection criteria found on page 3. Each criterion has an assigned point value, and reviewers will be scoring each application according to all of the criteria. Please keep your narrative concise and focused. Attach the Program Narrative to the Project Narrative Attachment Form found in the application package downloaded from Grants.gov.

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.



- All text in the narrative must be limited to 15 pages, double-spaced, and in a 12 point font. Appendices to the narrative are not permitted, with the exception of resumes and endnotes. None of the material sent as appendices to the narrative, with the exception of resumes and endnotes, will be sent to the reviewers. All charts and tables sent in as a part of the application must be included in the narrative, will count toward the 15 page limit, and must also be double-spaced and use a 12 point font.

The page limit does not apply to the title page form (SF 424), the ED Supplement to the SF 424 form, the one-page abstract, the budget summary form and budget narrative, endnotes, the resumes, or the assurances and certifications. Endnotes and Resumes can be attached to the Other Narrative Attachment Form found in the application package downloaded from Grants.gov.

Our reviewers will not read any pages of your application that--

- Exceed the page limit if you apply these standards; or
- Exceed the equivalent of the page limit if you apply other standards. For example, reviewers will be instructed not to read, write comments on or provide a score on materials in the narrative past page 8 for a proposal that is not double spaced and past page 12 in any proposal that uses a font smaller than 12 point.

## **6) Budget (ED Form 524) and Budget Narrative**

Use the enclosed ED Form 524 (Budget Information, Non-Construction Programs, Section A) to provide a complete budget summary for the twelve months of the project.

### **A. Line item explanations for ED FORM 524, SECTION A**

**Name:** Enter the Name of the applicant organization(s) or institution(s) in the blank space provided.

**Personnel (line 1):** Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

**Fringe Benefits (line 2):** The institution's normal fringe benefit contribution may be charged to the program.

**Travel (line 3):** Indicate the travel costs of employees and participants only. Include travel of such persons as consultants and trainees on line 6.

Note: We will not pay for travel to state, regional, or national association meetings.

**Equipment (line 4):** Indicate the cost of non-expendable personal property that has a usefulness of greater than one year, and acquisition cost that is the lesser of

the capitalization level established by the applicant entity for financial statement purposes, or \$5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.

**Supplies (line 5):** Show all tangible personal property except that included on line 4. Note: We will not pay for furniture, except for shelves that accommodate purchases of library materials and computer desks or chairs associated with purchases of computers.

**Contractual (line 6):** Include consultant travel costs, fees, and expenses, and other contractual expenses such as project evaluations or leased equipment.

**Construction (line 7):** Not applicable.

**Other (line 8):** Indicate all direct costs not covered on lines 1-6. Examples are, required fees, communication costs, or printing costs.

Note: We will not pay for memberships to national or state associations.

**Total Direct Costs (line 9):** The sum of lines 1-8.

**Indirect Costs (line 10):** Indicate the applicant's approved, restricted, indirect cost rate, per sections 75.560 – 75.580 of EDGAR. If an applicant does not have an approved indirect cost rate agreement, then it should contact its state educational agency to have one calculated.

**Training Stipends (line 11):** This line item is not applicable to this program. Stipends belong under the "Other" line item. Please note: The training stipend line item only pertains to costs associated with long term training programs and college or university coursework, not workshops or short-term training supported by this program.

**Total Cost (line 12):** This should equal the sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year 1 (a)*, should also be equal to item 13a on the application face sheet (ED Form 424).

**The Budget Form 524, Section B Non-Federal Funds is not required for this program.**

**B. The BUDGET NARRATIVE Should Explain:**

- the basis for estimating the costs of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs, and any projected expenditures; and
- how the major cost items relate to the proposed activities.

- Please see the following suggested format for the Budget Narrative and attach it to the Budget Narrative Attachment Form found in the application package downloaded from [Grants.gov](http://Grants.gov).

### Sample Format for Budget Narrative

Budget Category—Line Items	Specifics regarding line item	Federal Funds Requested
1. <u>Personnel</u> Project Director Library Assistant Any other key personnel	For example, 20 percent time of FTE 35 percent time of FTE	Subtotal Subtotal Total: for Personnel
2. <u>Fringe Benefits</u> Established Rate = Provide rates as applicable	For example, PD salary X fringe benefit rate	Subtotal (s) Total for fringe benefits
3. <u>Travel</u> Reason for Travel/ Destination	Cost for each employee(s) travel Break out cost of travel, lodging, transportation	Total (s) Total for Travel
4. <u>Equipment</u> Any item w/ unit price of \$5,000 or more or established policy of district	How many units serving which schools?	Total (s) Total for equipment
5. <u>Supplies, i.e.,</u> <ul style="list-style-type: none"> <li>• Books,</li> <li>• computers,</li> <li>• actual supplies</li> </ul>	<ul style="list-style-type: none"> <li>• # of books</li> <li>• # of computers, unit cost</li> <li>• Estimated cost of supplies for project yr</li> </ul>	<ul style="list-style-type: none"> <li>• Total cost</li> <li>• Total cost</li> <li>• Total cost</li> </ul> Total
6. <u>Contractual</u> Activity (Evaluation, training,)	Who, how much \$\$, time	Subtotal(s)., Total cost for contractual
7. Construction NOT APPLICABLE	NA	NA
8. Other Please list items such as printing costs, communication costs	Provide next to item how much and how many Printing 500 flyers for extended hours @.10 per flyer	Provide related totals 500 X .10=\$50.00
9. Total Direct Costs		Sum of 1-8

10. Indirect Costs	Provide your district's restricted indirect cost rate	Multiply the total direct costs by the indirect cost rate
11. Training Stipends	This is not applicable to this program	NA
12. Total Costs		Sum of Items 9 and 10

### **7) Individual Resumes for Project Directors & Key Personnel**

Provide brief resumes (up to 3 pages each) that include relevant qualifications for contributions to the achievement of project goals. Attach the resumes to the Other Attachments form found in the application package downloaded from Grants.gov.

### **8) Statement of Equitable Access--General Education Provisions Act (GEPA)**

**427 Attach this statement to the ED GEPA 427 form.** GEPA 427 requires applicants to include in their proposal a succinct description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally assisted program for students, teachers, and others with special needs. GEPA 427 highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you can determine whether these or other barriers may prevent students, teachers, and others from such access or participation.

Your description need not be lengthy. However, you must identify barriers to access or participation and provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. This information should be provided in a statement separate from the program narrative.

GEPA 427 is not intended to duplicate the requirements of the civil rights statutes, but rather to ensure that, in designing their projects, applicants for federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve high standards.

An applicant may use the federal funds awarded to it to eliminate barriers it identifies.

**9) Certifications and Assurances. Note: Standard Form 424B, Grants.gov Lobbying form (formerly the ED 80-0013 form), and ED Form 80-0014 must include the name of the person authorized to sign for the institution, and must be included in the application package. Applicants are only required to send original signatures on the forms if they receive an exception from applying electronically. Grants.gov is considered secure, original signatures are not required on forms included in applications submitted through grants.gov.**

- Certifications Regarding Lobbying; (Grants.gov Lobbying form, formerly the ED 80-0013 form)
- Certifications Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions (ED 80-0014)
- Disclosure of Lobbying Activities (SF LLL Form)
- Assurances – Non-Construction Programs (SF 424B Form)

## Intergovernmental Review

This program is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. The objective of the order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance. Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. The latest list of State Single Point of Contact (SPOC) is on the OMB web site:

<http://www.whitehouse.gov/omb/grants>, and included in this section of the application.

States that are not on the following list have chosen not to participate in the Intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application material directly to a Federal awarding agency.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372—CFDA# 84.364A, US Department of Education, room 7W301, 400 Maryland Ave., SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Eastern time) on the date indicated in the actual notice.

**PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.**

### Intergovernmental Review (SPOC List)

**It is estimated that every year the Federal Government will outlay hundreds of billions of dollars in grants to State and local governments.** Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided below.

**States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application materials directly to a Federal awarding agency.**

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance.

<b><u>ARKANSAS</u></b> Tracy L. C Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 W. 7th St., Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 Fax: (501) 682-5206 <a href="mailto:tracy.copeland@dfa.state.ar.us">tracy.copeland@dfa.state.ar.us</a>	<b><u>CALIFORNIA</u></b> Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 Fax: (916) 323-3018 <a href="mailto:state.clearinghouse@opr.ca.gov">state.clearinghouse@opr.ca.gov</a>
<b><u>DELAWARE</u></b> Ellen P. McDowell Federal Aid Coordinator Office of Management and Budget 540 S. duPont Highway, 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3327 Fax: (302) 739-5661 <a href="mailto:ellen.mcdowell@state.de.us">ellen.mcdowell@state.de.us</a>	<b><u>DISTRICT OF COLUMBIA</u></b> Marlene Jefferson DC Government Office of Partnerships and Grants Development 441 4th Street, NW Washington, DC 20001 Telephone: (202) 727-6515 Fax: (202) 727-1652 <a href="mailto:marlene.jefferson@dc.gov">marlene.jefferson@dc.gov</a>
<b><u>FLORIDA</u></b> Lauren P. Milligan Florida State Clearinghouse Florida Dept. of Environmental Protection 3900 Commonwealth Blvd., Mail Station 47 Tallahassee, Florida 32399-3000 Telephone: (850) 245-2161 Fax: (850) 245-2190 <a href="mailto:Lauren.Milligan@dep.state.fl.us">Lauren.Milligan@dep.state.fl.us</a>	<b><u>GEORGIA</u></b> Barbara Jackson Georgia State Clearinghouse 270 Washington Street, SW, 8 <sup>th</sup> Floor Atlanta, Georgia 30334 Telephone: (404) 656-3855 Fax: (404) 656-7916 <a href="mailto:gach@mail.opb.state.ga.us">gach@mail.opb.state.ga.us</a>

<p><b><u>ILLINOIS</u></b>  Roukaya McCaffrey  Department of Commerce and Economic Opportunities  620 East Adams, 6<sup>th</sup> Floor  Springfield, Illinois 62701  Telephone: (217) 524-0188  Fax: (217) 558-0473  <a href="mailto:roukaya_mccaffrey@illinoisbiz.biz">roukaya_mccaffrey@illinoisbiz.biz</a></p>	<p><b><u>IOWA</u></b>  Kathy Mabie  Iowa Department of Management  State Capitol Building Room G12  1007 E Grand Avenue  Des Moines, Iowa 50319  Telephone: (515) 281-8834  Fax: (515) 242-5897  <a href="mailto:Kathy.Mabie@iowa.gov">Kathy.Mabie@iowa.gov</a></p>
<p><b><u>KENTUCKY</u></b>  Ron Cook  The Governor's Office for Local Development  1024 Capital Center Drive, Suite 340  Frankfort, Kentucky 40601  Telephone: (502) 573-2382 / (800) 346-5606  Fax: (502) 573-2512  <a href="mailto:Ron.Cook@Ky.Gov">Ron.Cook@Ky.Gov</a></p>	<p><b><u>MAINE</u></b>  Joyce Benson  State Planning Office  184 State Street  38 State House Station  Augusta, Maine 04333  Telephone: (207) 287-3261  (direct) (207) 287-1461  Fax: (207) 287-6489  <a href="mailto:joyce.benson@state.me.us">joyce.benson@state.me.us</a></p>
<p><b><u>MARYLAND</u></b>  Linda C. Janey, J.D.  Director, Maryland State Clearinghouse  For Intergovernmental Assistance  301 West Preston Street, Room 1104  Baltimore, Maryland 21201-2305  Telephone: (410) 767-4490  Fax: (410) 767-4480  <a href="mailto:ljaney@mdp.state.md.us">ljaney@mdp.state.md.us</a></p>	<p><b><u>MICHIGAN</u></b>  Richard Pfaff  Southeast Michigan Council of Governments  535 Griswold, Suite 300  Detroit, Michigan 48226  Telephone: (313) 961-4266  Fax: (313) 961-4869  <a href="mailto:pfaff@semcog.org">pfaff@semcog.org</a></p>
<p><b><u>MISSISSIPPI</u></b>  Janet Riddell  Clearinghouse Officer  Department of Finance and Administration  1301 Woolfolk Building, Suite E  501 North West Street  Jackson, Mississippi 39201  Telephone: (601) 359-6762  Fax: (601) 359-6758  <a href="mailto:JRiddell@dfa.state.ms.us">JRiddell@dfa.state.ms.us</a></p>	<p><b><u>MISSOURI</u></b>  Sara VanderFeltz  Federal Assistance Clearinghouse  Office of Administration  Commissioner's Office  Capitol Building, Room 125  Jefferson City, Missouri 65102  Telephone: (573) 751-0337  Fax: (573) 751-1212  <a href="mailto:sara.vanderfeltz@oa.mo.gov">sara.vanderfeltz@oa.mo.gov</a></p>

<b><u>NEVADA</u></b> Kimberley Perondi Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701 Telephone: (775) 684-0209 Fax: (775) 684-0260 <a href="mailto:kperondi@budget.state.nv.us">kperondi@budget.state.nv.us</a>	<b><u>NEW HAMPSHIRE</u></b> MaryAnn Manoogian Director, New Hampshire Office of Energy and Planning Attn: Intergovernmental Review Process Benjamin Frost 57 Regional Drive Concord, New Hampshire 03301-8519 Telephone: (603) 271-2155 Fax: (603) 271-2615 <a href="mailto:irp@nh.gov">irp@nh.gov</a>
<b><u>NEW YORK</u></b> Linda Shkreli Office of Public Security Homeland Security Grants Coordination 633 3rd Avenue New York, NY 10017 Telephone: (212) 867-1289 Fax: (212) 867-1725	<b><u>NORTH DAKOTA</u></b> Jim Boyd ND Department of Commerce 1600 East Century Avenue, Suite 2 P.O. Box 2057 Bismarck, North Dakota 58502-2057 Telephone: (701) 328-2676 Fax: (701) 328-2308 <a href="mailto:jboyd@state.nd.us">jboyd@state.nd.us</a>
<b><u>RHODE ISLAND</u></b> Joyce Karger Department of Administration One Capitol Hill Providence, Rhode Island 02908- 5870 Telephone: (401) 222-6181 Fax: (401) 222-2083 <a href="mailto:jkarger@doa.state.ri.us">jkarger@doa.state.ri.us</a>	<b><u>SOUTH CAROLINA</u></b> Jean Ricard Office of State Budget 1201 Main Street, Suite 870 Columbia, South Carolina 29201 Telephone: (803) 734-1314 Fax: (803) 734-0645 <a href="mailto:JRicard@budget.sc.gov">JRicard@budget.sc.gov</a>
<b><u>TEXAS</u></b> Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 Fax: (512) 936-2681 <a href="mailto:dfrancis@governor.state.tx.us">dfrancis@governor.state.tx.us</a>	<b><u>UTAH</u></b> Sophia DiCaro Utah State Clearinghouse Governor's Office of Planning and Budget Utah State Capitol Complex Suite E210, PO Box 142210 Salt Lake City, Utah 84114-2210 Telephone: (801) 538-1027 Fax: (801) 538-1547 <a href="mailto:sdicaro@utah.gov">sdicaro@utah.gov</a>
<b><u>WEST VIRGINIA</u></b> Fred Cutlip Director, Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 Fax: (304) 558-3248 <a href="mailto:fcutlip@wvdo.org">fcutlip@wvdo.org</a>	<b><u>WISCONSIN</u></b> Division of Intergovernmental Relations Wisconsin Department of Administration 101 East Wilson Street, 10th Floor P.O. Box 8944 Madison, Wisconsin 53708 Telephone: (608) 266-7043 Fax: (608) 267-6917 <a href="mailto:SPOC@doa.state.wi.us">SPOC@doa.state.wi.us</a>



<b>AMERICAN SAMOA</b> Pat M. Galea=i Federal Grants/Programs Coordinator Office of Federal Programs/Office of the Governor Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 <a href="mailto:pmgaleai@samoatelco.com">pmgaleai@samoatelco.com</a>	<b>GUAM</b> Director Bureau of Budget and Management Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 Fax: 011-472-2825 <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a>
<b>NORTH MARIANA ISLANDS</b> Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 Fax: (670) 664-2272 <a href="mailto:omb.jseman@saipan.com">omb.jseman@saipan.com</a>	<b>PUERTO RICO</b> Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 Fax: (787) 722-6783
<b>VIRGIN ISLANDS</b> Ira Mills Director, Office of Management and Budget #41 Norre Gade Emancipation Garden Station Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 Fax: (340) 776-0069 <a href="mailto:irmills@usvi.org">irmills@usvi.org</a>	

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to [grants@omb.eop.gov](mailto:grants@omb.eop.gov). If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management  
Office of Management and Budget  
New Executive Office Building, Suite 6025  
725 17th Street, NW  
Washington, DC 20503

**Please note:** Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance, [www.cfda.gov](http://www.cfda.gov), (CFDA).

# Transmittal of Applications

**ATTENTION:** Applications for this program must be submitted electronically via the U.S. Government's Grants.gov system.

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site ([www.grants.gov](http://www.grants.gov)) by 4:30 p.m. (Washington, DC time) on April 11, 2006.

Applicants for this program competition **must use the new government-wide website, Grants.gov** (<http://www.grants.gov>), to apply. This will replace last year's requirement that applicants use the U.S. Department of Education's e-Grants system. Please note that the Grants.gov site works differently than the U.S. Department of Education's e-Application System. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that you register early and submit early.

## **Instructions For Transmitting Applications:**

**REGISTER EARLY:** Grants.gov registration may take five or more days to complete. You must be fully registered to submit an application. Please follow the detailed Step-by-Step instructions on the Grants.gov **Get Started page** (<http://www.grants.gov/GetStarted>) or in the Grants.gov Registration brochure to:

- 1) Register Your Organization
  - a. Obtain your organization's Data Universal Number System (DUNS) number
  - b. Register your organization with Central Contractor Registry (CCR)
  - c. Identify your organization's E-Business POC (Point of Contact)
  - d. Confirm your organization's CCR "Marketing Partner ID Number M-PIN" password
- 2) Register Yourself as an Authorized Organization Representative (AOR)
  - a. Obtain your username and password
  - b. Register your username and password with Grants.gov
- 3) Get Yourself Authorized as an AOR
  - a. Contact your E-Business POC to ensure your AOR status
  - b. Log in to Grants.gov to check your AOR status

**DOWNLOAD the Pure Edge Viewer:** To download and complete the application, you will need to have the Pure Edge Viewer software on your computer. It is free and easy to download from Grants.gov. You may need to allow time for approval from your organization to download this software.

**SUBMIT EARLY:** Do not wait until the last day to submit your application! To submit successfully, you must enter the DUNS number in the application that your organization used when it registered with the CCR.

Please follow the Department of Education's Grants.gov Submission Procedures and Tips for Applicants, which are located at: <http://e-grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>. You will want to ensure your

application is submitted (i.e. has a date/time stamp from Grants.gov before 4:30 pm on the deadline date) **AND** that the application is processed and validated successfully. Grants.gov processing times may vary, so you need to allow time for any unanticipated problems with your submission. **If Grants.gov rejects your application, you will need to resubmit before the deadline date and time.**

**Grants.gov SUPPORT:** For help with Grants.gov, please call 1-800-518-4726 or use the customer support available on the website: <http://www.grants.gov/CustomerSupport>.

**Application Deadline Date Extension in Case of Technical Issues with the Grants.gov**

**System:** If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically, or by hand delivery. You also may mail your application by following the mailing instructions as described elsewhere in this notice. If you submit an application after 4:30 p.m., Washington, DC time, on the deadline date, please contact the person listed elsewhere in this notice under For Further Information Contact, and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number (if available). We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

**Note:** Extensions referred to in this section apply only to the unavailability of or technical problems with the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

**Exception to Electronic Submission Requirement**

You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because –

- You do not have access to the Internet; **or**
- You do not have the capacity to upload large documents to the Grants.gov system;

**AND**

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application

deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Irene Harwarth, U.S. Department of Education, Room 3W227, 400 Maryland Avenue, SW, Washington, DC 20202. FAX: (202)260-8969. Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

### Applications Sent by Mail

**The following only applies if you obtain a waiver from applying electronically.**

Number of Copies:

All applicants are *required* to submit one signed original and two copies of the application. Each copy of the application must include an SF 424 form.

Applicants are *requested* to submit three additional copies of the entire application, including the SF 424. The reviewers will use these copies. This is a total of six applications.

Remember--each application must be a self-contained document. The application should not be bound or enclosed in a folder. The preferred method is to clip or staple the application. All sections of the application and all appendices or attachments must be suitable for photocopying in order to be included in the materials given to the reviewers.

If you submit your application in hard copy, **after requesting a waiver of the electronic submission requirement**, you must submit an original application and two copies.

By mail through the U.S. Postal Service:

U.S. Department of Education,  
Application Control Center, Attention: CFDA 84.364A,  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

You must show one of the following as proof of mailing:

- 1) A legibly dated U. S. Postal Service Postmark.
- 2) A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.
- 3) A dated shipping label, invoice, or receipt from a commercial carrier.
- 4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

A private metered postmark.

A mail receipt that is not dated by the U.S. Postal Services.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

#### Applications Delivered by Commercial Carrier:

Special Note: Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U. S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the instructions for “Applications Delivered by Hand.”

Applications that are delivered by commercial carrier, such as Federal Express, United Parcel Service, etc. should be mailed to the:

U.S. Department of Education,  
Application Control Center-Stop 4260  
7100 Old Landover Road  
Landover, MD 20785-1506

Attention: CFDA Number 84.364A

#### Applications Delivered by Hand

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional three copies of your application.

Please hand deliver copies to:

U.S. Department of Education  
Application Control Center, Attention: CFDA 84.364A  
550 12<sup>th</sup> Street S.W., Room 7041  
Potomac Center Plaza  
Washington, D.C. 20202-4260

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays and Federal holidays. A person delivering an application must show identification to enter the building.

Note: Some of the procedures in these instructions for transmitting applications differ from those in the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.102). Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed regulations. However, these amendments make procedural changes only and do not establish new substantive policy. Therefore, under 5 U.S.C. 553(b) (A), the Secretary has determined that proposed rulemaking is not required.

# Things to Check before You Submit Your Application Electronically

**Review your application. It should include the following sections, in this order:**

- ☐ Standard Form 424 (application cover page) & ED Supplement to the SF 424 form:
  - ☐ The Standard Form 424 & ED Supplement form must be completed according to the instructions in this package.
  - ☐ Include Eligibility Form attached to the Other Attachments Form.
- ☐ Table of Contents Attached to the Project Narrative Attachment Form
- ☐ Abstract - Attached to the ED Abstract Form
- ☐ Program narrative, preferably no more than 15 double-spaced pages - Attached to the Project Narrative Attachment Form.
- ☐ Budget Form 524
- ☐ Detailed budget narrative - Attached to the Budget Narrative Attachment Form
- ☐ Resumes of project directors and key personnel, preferably no more than 3 pages each - Attach to the Other Attachments Form.
- ☐ Narrative Statement of equitable access, (ED GEPA 427 form);
- ☐ Certifications and Assurances.

**If you receive a waiver and submit your application in hard copy:** Your package should include one original plus two copies of the application. Three additional copies (for a total of six applications) are requested, but not required. Each application should be clipped or stapled, not bound or enclosed in a folder. Check to make sure you are sending the application to the appropriate address.

---

## Appendix A: Notices

---

4000-01-U

DEPARTMENT OF EDUCATION

Office of Elementary and Secondary Education

Overview Information

Improving Literacy Through School Libraries Program

Notice inviting applications for new awards for fiscal year (FY) 2006.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.364A

Dates:

Applications Available: February 10, 2006.

Deadline for Transmittal of Applications: April 11, 2006.

Deadline for Intergovernmental Review: June 12, 2006.

Eligible Applicants: Local educational agencies (LEAs) in which at least 20 percent of the students served by the LEA are from families with incomes below the poverty line based on the most recent satisfactory data available from the U.S. Census Bureau at the time this notice is published. These data are Small Area Income and Poverty Estimates for school districts for income year 2003. A list of LEAs with their family poverty rates (based on these Census Bureau data) is posted on our Web site at: <http://www.ed.gov/programs/lsl/eligibility.html>.

Estimated Available Funds: \$18,901,586. Contingent upon the availability of funds and quality of applications, the Secretary may make additional awards in FY 2007 from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$30,000 - \$300,000.

Note: Actual award amounts will be based on the number of schools and students served by the project.

Estimated Average Size of Awards: \$190,000.

Estimated Number of Awards: 100.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 12 months.

### Full Text of Announcement

#### I. Funding Opportunity Description

Purpose of Program: The purpose of this program is to improve student reading skills and academic achievement by providing students with increased access to up-to-date school library materials; well-equipped, technologically advanced school library media centers; and well-trained, professionally certified school library media specialists.

Priority: Under this competition we are particularly interested in applications that address the following priority.

Invitational Priority: For FY 2006 and any subsequent year in which we make awards based on the list of unfunded applicants from this competition, this priority is an invitational priority.



Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is:

Under this priority the Secretary strongly encourages applicants to focus their efforts on elementary schools in order to maximize the impact of the project on improving reading achievement.

Program Authority: 20 U.S.C. 6383.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 84, 85, 97, 98, and 99. (b) The notice of final clarification of eligible local activities, published in the Federal Register on April 5, 2004 (69 FR 17894).

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$18,901,586. Contingent upon the availability of funds and quality of applications, the Secretary may make additional awards in FY 2007 from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$30,000 - \$300,000.

Note: Actual award amounts will be based on the number of schools and students served by the project.

Estimated Average Size of Awards: \$190,000.

Estimated Number of Awards: 100.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 12 months.

## III. Eligibility Information

1. Eligible Applicants: LEAs in which at least 20 percent of the students served by the LEA are from families with incomes below the poverty line based on the most recent satisfactory data available from the U.S. Census Bureau at the time this notice is published. These data are Small Area Income and Poverty Estimates for school districts for income year 2003. A list of LEAs with their family poverty rates (based on these Census Bureau data) is posted on our Web site at: <http://www.ed.gov/programs/lsl/eligibility.html>.

2. Cost Sharing or Matching: This program does not involve cost sharing or matching, but does involve supplement-not-supplant funding provisions. Funds made available under this program must be used to supplement, and not supplant, other Federal, State, and local funds expended to carry out activities relating to library, technology, or professional development activities (20 U.S.C. 6383(i)).

#### IV. Application and Submission Information

1. Address to Request Application Package: You may obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain a copy via the Internet use the following addresses: <http://www.grants.gov> or <http://www.ed.gov/programs/lsl/applicant.html>. To obtain a copy from ED Pubs, write or call the following: ED Pubs, P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. Fax: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs at its Web site: <http://www.ed.gov/pubs/edpubs.html> or you may contact ED Pubs at its e-mail address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov).

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.364A.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed under For Further Information Contact in section VII of this notice.

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program. An Eligibility Form is included in the application package. You must fill out the Eligibility Form, following the instructions provided in the application package.

Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the narrative to the equivalent of no more than 15 pages, using the following standards:

- A “page” is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger.

The page limit does not apply to the forms, budget section, budget justification, assurances and certifications, one-page abstract, endnotes, or resumes. However, you must include all of the application narrative in the narrative section. Charter Schools and State Administered Schools must include some form of documentation from their State Educational Agency (SEA) confirming eligibility for this program. This documentation is not counted toward the page limit.

Our reviewers will not read any pages of your application that--

- Exceed the page limit if you apply these standards; or
- Exceed the equivalent of the page limit if you apply other standards.

Appendices to the narrative are not permitted, with the exception of resumes and endnotes.

None of the material sent as appendices to the narrative, with the exception of resumes and endnotes, will be sent to the reviewers.

### 3. Submission Dates and Times:

Applications Available: February 10, 2006

Deadline for Transmittal of Applications: April 11, 2006

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically or by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.  
Deadline for Intergovernmental Review: June 12, 2006

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under this program must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

#### a. Electronic Submission of Applications.

Applications for grants under the Improving Literacy Through School Libraries program- CFDA Number 84.364A must be submitted electronically using the Grants.gov Apply site at: <http://www.grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for Improving Literacy Through School Libraries program at: <http://www.grants.gov>. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search.

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are time and date stamped. Your application must be fully uploaded and submitted, and must be date/time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not consider your application if it is date/time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date/time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors including the size of the application and the speed of your Internet connection.

Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>
- To submit your application via Grants.gov, you must complete all of the steps in the Grants.gov registration process (see <http://www.Grants.gov/GetStarted>). These steps include (1) registering your organization, (2) registering yourself as an Authorized Organization Representative (AOR), and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/assets/GrantsgovCoBrandBrochure8X11.pdf>). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to successfully submit an application via Grants.gov.
- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.
- You must submit all documents electronically, including all information typically included on the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified above or submit a password protected file, we will not review that material.
- Your electronic application must comply with any page limit requirements described in this notice.
- After you electronically submit your application, you will receive an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. The Department will retrieve your application from Grants.gov and send you a second confirmation by e-mail that will include a PR/Award number (an ED-specified identifying number unique to your application).
- We may request that you provide us original signatures on forms at a later date.

**Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System:** If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically, or by hand delivery. You also may mail your application by following the mailing instructions as described elsewhere in this notice. If you submit an application after 4:30 p.m., Washington, DC time, on the deadline date, please contact the person listed elsewhere in this notice under **For Further Information Contact**, and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number (if available). We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30 p.m., Washington, DC time, on the application deadline date.

The Department will contact you after a determination is made on whether your application will be accepted.

Note: Extensions referred to in this section apply only to the unavailability of or technical problems with the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because—

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;  
and
- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date. Address and mail or fax your statement to: Irene Harwarth, U.S. Department of Education, room 3W227, 400 Maryland Avenue, SW., Washington, DC 20202-6200. Fax: (202) 260-8969.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier), your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.364A)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: (CFDA Number 84.364A)  
7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.364A)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department:

- (1) You must indicate on the envelope and — if not provided by the Department — in Item 4 of the Application for Federal Education Assistance (ED 424) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.
- (2) The Application Control Center will mail a grant application receipt acknowledgment

to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

## V. Application Review Information

1. Selection Criteria: We use the following statutory selection criteria to evaluate applications for new grants under this competition. The maximum score for all of these criteria is 100 points. The maximum score for each criterion is indicated in parentheses.

We evaluate an application by determining how well the proposed project meets the following criteria:

(a) Meeting the purpose of the statute (10 points). How well the proposed project addresses the intended outcome of the statute: to improve student reading skills and academic achievement by providing students with increased access to up-to-date school library materials; a well-equipped, technologically advanced school library media center; and well-trained, professionally certified school library media specialists.

(b) Need for school library resources (10 points). How well the applicant demonstrates the need for school library media improvement, based on the age and condition of school library media resources, including book collections; access of school library media centers to advanced technology; and the availability of well-trained, professionally certified school library media specialists, in schools served by the applicant.

(c) Use of funds (50 points). How well the applicant will use the funds made available through the grant to carry out one or more of the following activities that meet its demonstrated needs:

(1) Acquiring up-to-date school library media resources, including books.

(2) Acquiring and using advanced technology, incorporated into the curricula of the school, to develop and enhance students' skills in retrieving and making use of information and in critical thinking.

(3) Facilitating Internet links and other resource-sharing networks among schools and school library media centers, and public and academic libraries.

(4) Providing professional development (as described in the notice of final clarification of eligible local activities published in the Federal Register on April 5, 2004 (69 FR 17894)) for school library media specialists that is designed to improve literacy in grades K-3, and for school library media specialists as described in section 1222(d)(2) of the ESEA and providing activities that foster increased collaboration between school library media specialists, teachers, and administrators.

(5) Providing students with access to school libraries during non-school hours, including the hours before and after school, during weekends, and during summer vacation periods.

(d) Use of scientifically based research (10 points). How well the applicant will use programs and materials that are grounded in scientifically based research, as defined in section 9101(37) of the ESEA, in carrying out one or more of the activities described under criterion (c).

(e) Broad-based involvement and coordination (10 points). How well the applicant will extensively involve school library media specialists, teachers, administrators, and parents in the proposed project activities and effectively coordinate the funds and activities provided under this program with other literacy, library, technology, and professional development funds and activities.

(f) Evaluation of quality and impact (10 points). How well the applicant will collect and analyze data on the quality and impact of the proposed project activities, including the extent to

which the availability of, the access to, and the use of up-to-date school library media resources in the elementary schools and secondary schools served by the applicant increase; and the impact of the project on the reading skills of students.

2. Review and Selection Process: An additional factor we consider in selecting an application for an award is the equitable distribution of grants across geographic regions and among LEAs serving urban and rural areas.

## VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may also notify you informally.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary.

4. Performance Measures: In response to the Government Performance and Results Act (GPRA), the Department developed two measures for evaluating the overall effectiveness of the Improving Literacy Through School Libraries program. These measures gauge improvement in student achievement and resources in the schools and districts served by the Improving Literacy Through School Libraries program by assessing increases in: (1) The percentage of participating schools and districts that exceed State adequate yearly progress targets under ESEA Title I for reading achievement for all students; and (2) The school library media collections at participating schools, compared to schools not participating in the program.

The Department will collect data for these measures from grantees' annual performance reports and other data sources.

## VII. Agency Contact

For Further Information Contact: Irene Harwarth, U.S. Department of Education, 400 Maryland Avenue, SW., room 3W227, Washington, DC 20202-6200. Telephone: (202) 401-3751 or by e-mail: Irene.Harwarth@ed.gov.

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed in this section.



## VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: [www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister).

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: [www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html).

Dated: February 7, 2006

/s/

---

Henry L. Johnson,  
Assistant Secretary for Elementary  
and Secondary Education.

---

## Appendix B: Required Forms

---

The forms listed below must be submitted with your application.

- Eligibility Form
- Standard Form 424 and ED Supplement to the SF 424 (Note: These are the instructions for using the SF 424 and Supplement on Grants.gov. If an applicant is exempt from electronic filing, fill out the ED 424 included in this document.)
- Budget (SF 524)
- ED GEPA 427 Form (Note: the ED GEPA 427 Form is only on Grants.gov. If an applicant is exempt from electronic filing, attach a GEPA statement. No form is required.)
- Certifications
- Assurances

**All applicants must complete this form. When submitting the application using Grants.gov, you must recreate or copy and paste this form into another document and complete the form. Attach the completed form to the Other Attachments Form found in the Grants.gov application package as either a .doc, .rtf, or .pdf document. DO NOT MODIFY THE INFORMATION REQUESTED.**

***IMPROVING LITERACY THROUGH SCHOOL LIBRARIES PROGRAM***  
***APPLICATION FORM***  
**APPLICANT ELIGIBILITY**

The first eligibility criterion is that the applicant must be a Local Educational Agency (LEA), as defined in section 9101 of the Elementary and Secondary Education Act. Generally, State Educational Agencies (SEAs) designate LEAs for purposes of Federal education programs. Eligible applicants are the following:

- Public school districts.
- Some charter schools. These charter schools must be considered LEAs by their SEAs.
- Regional Service Agencies in many states are considered LEAs by the SEA. These entities may apply as part of a consortium with eligible LEAs in their service areas.
- State Administered Schools, such as Schools for the Deaf and the Blind, State Arts Schools, etc., may be eligible to apply if they are considered LEAs by the SEA.

The second eligibility criterion is that the LEA must have at least 20% of its students from families below the poverty line.

**Instructions:** Complete the form by filling in the name and address of the eligible applicant in the left column. In the middle column, indicate the type of applicant by checking the appropriate box. Also, write in the percentage of family poverty. In the right column, write in the district's National Center for Education Statistics (NCES) identification number. The list of eligible LEAs and family poverty rates can be found at the Improving Literacy Through School Libraries Program Web site at <http://www.ed.gov/programs/lsl> under "eligibility" and the NCES identification number can be found at <http://nces.ed.gov/ccd/districtsearch/>.

**If the applicant is a Regional Service Agency representing more than one district or a consortium of eligible districts, please use the name and address of the fiscal agent on this page, and provide a listing of the additional districts with the family poverty rate and the NCES identification number for each district.**

NAME AND ADDRESS OF ELIGIBLE APPLICANT	TYPE OF APPLICANT (CHECK ONE)	National Center for Education Statistics (NCES) identification number: _____
Name: _____	<input type="checkbox"/> Eligible LEA	
Address: _____	<input type="checkbox"/> Charter School	
_____	<input type="checkbox"/> Regional Service Agency	
City/State/Zip: _____	<input type="checkbox"/> State Administered School	
Telephone: _____	Percent Family Poverty	
e-mail: _____	Rate: _____	
Listing of any additional districts with the family poverty rate and the NCES identification number for each district:		

## Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	Type of Application: <b>(Required) Select one type of application in accordance with agency instructions.</b> <ul style="list-style-type: none"> <li>• <b>New – An application that is being submitted to an agency for the first time.</b></li> <li>• <b>Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</b></li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> <li>A. Increase Award      B. Decrease Award</li> <li>C. Increase Duration      D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5 <sup>th</sup> district, CA-012 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• <b>If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</b></li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.		
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in

	<b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).			parentheses.
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.		19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.		20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.  If yes, include an explanation on the continuation sheet.
9.	<b>Type of Applicant: (Required)</b> <b>Select up to three applicant type(s) in accordance with agency instructions.</b>		21.	<b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.  A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)		

## INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

1. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
2. **Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

3. **Human Subjects Research.** (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**If Not Human Subjects Research.** Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

**If Human Subjects Research.** Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

**If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all

of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424

**Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

*Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, DC 20202-4260.*

# Definitions for ED Supplemental Information for SF 424

## Definitions:

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities, which meet this definition, constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

#### B. Exemptions.

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of *exemptions* are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or*

*if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be

sure to label each set of responses as to the project they address.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 3 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

#### **(1) Human Subjects Involvement and Characteristics:**

Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

**(2) Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

**(3) Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

**(4) Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.



(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other

performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site:*  
*<http://www.ed.gov/about/offices/list/OCFO/humansub.html>*

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1890-0017  
Exp. OMB Approved

## Applicant Information

Organizational Unit

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number | | | | | | | | | |

3. Applicant's T-I-N | | | | - | | | | | | | | | |

4. Catalog of Federal Domestic Assistance #: 84. | | | | | | | |

Title: \_\_\_\_\_

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip code + 4 \_\_\_\_\_

Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

6. Novice Applicant \_\_\_ Yes \_\_\_ No

7. Is the applicant delinquent on any Federal debt? \_\_\_ Yes \_\_\_ No  
(If "Yes," attach an explanation.)

8. Type of Applicant (Enter appropriate letter in the box.) | \_\_\_\_/

A - State F - Independent School District  
B - Local G - Public College or University  
C - Special District H - Private, Non-profit College or University  
D - Indian Tribe I - Non-profit Organization  
E - Individual J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

9. State Application Identifier \_\_\_\_\_

## Application Information

### 10. Type of Submission:

*-PreApplication*      *-Application*  
\_\_\_ Construction      \_\_\_ Construction  
\_\_\_ Non-Construction      \_\_\_ Non-Construction

### 11. Is application subject to review by Executive Order 12372 process?

\_\_\_ Yes (Date made available to the Executive Order 12372  
process for review): \_\_\_\_/\_\_\_\_/\_\_\_\_

\_\_\_ No (If "No," check appropriate box below.)

\_\_\_ Program is not covered by E.O. 12372.  
\_\_\_ Program has not been selected by State for review.

12. Proposed Project Dates: \_\_\_\_/\_\_\_\_/\_\_\_\_

Start Date:      End Date:

13. Are any research activities involving human subjects planned at  
any time during the proposed project period?  
\_\_\_ Yes (Go to 13a.) \_\_\_ No (Go to item 14.)

13a. Are **all** the research activities proposed designated to be  
exempt from the regulations?

\_\_\_ Yes (Provide Exemption(s) #): \_\_\_\_\_

\_\_\_ No (Provide Assurance #): \_\_\_\_\_

14. Descriptive Title of Applicant's Project:

## Estimated Funding

15a. Federal \$ \_\_\_\_\_ . 00

b. Applicant \$ \_\_\_\_\_ . 00

c. State \$ \_\_\_\_\_ . 00

d. Local \$ \_\_\_\_\_ . 00

e. Other \$ \_\_\_\_\_ . 00

f. Program Income \$ \_\_\_\_\_ . 00

g. TOTAL \$ \_\_\_\_\_ . 00

## Authorized Representative Information

16. To the best of my knowledge and belief, all data in this preapplication/application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: \_\_\_\_\_

c. Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

## Instructions for Form ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
  2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
  3. **Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
  4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
  5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
  6. **Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.  
  
Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
  7. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
  8. **Type of Applicant.** Enter the appropriate letter in the box provided.
  9. **State Application Identifier.** State use only (if applicable).
  10. **Type of Submission.** See "Definitions for Form ED 424" attached.
  11. **Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (mm/dd/yyyy). Otherwise, check "No."
  12. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (mm/dd/yyyy).
  13. **Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")  
  
**If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.  
  
**If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")
    - 13a. **If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.
    - 13a. **If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.
    - 13a. **Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.
- Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected

for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

- 14. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
- 15. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
- 16. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (mm/dd/yyyy) in the date signed field.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

**If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4700. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street SW, Room 7076, Washington, DC 20202-4260.

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to [http://12.46.245.173/pls/portal30/catalog.REQ\\_FOR\\_12372.show](http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show)

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

#### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked "Yes" for Item 13 on the ED 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked "Yes" for item 13 a. and designated exemption number(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked "No" for item 13 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

#### **(1) Human Subjects Involvement and Characteristics:**

Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other*

*pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>*

**U.S. DEPARTMENT OF EDUCATION****BUDGET INFORMATION****NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004

Expiration Date: in process

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						



Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

## INSTRUCTIONS FOR ED FORM 524

### General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B. **You are not required to submit this form.**

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Other Budget Information Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

## **CERTIFICATION REGARDING LOBBYING**

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT PROJECT NAME	PR/AWARD NUMBER AND / OR
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

---

**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion -- Lower Tier Covered Transactions**

---

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

---

**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds. (40 U.S.C. § 276c and 18 U.S.C. §§ 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-

333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§ 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

## Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> a. contract ___ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> a. bid/offer/application ___ b. initial award c. post-award	<b>3. Report Type:</b> a. initial filing ___ b. material change  <b>For material change only:</b> Year _____ quarter _____ Date of last report _____
<b>4. Name and Address of Reporting Entity:</b> ___ Prime     ___ Subawardee Tier_____, if Known:   <b>Congressional District, if known:</b>		<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>     <b>Congressional District, if known:</b>
<b>6. Federal Department/Agency:</b>   	<b>7. Federal Program Name/Description:</b>   CFDA Number, <i>if applicable</i> : _____	
<b>8. Federal Action Number, if known:</b>  	<b>9. Award Amount, if known:</b>  \$ _____	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____  <b>Print Name:</b> _____  <b>Title:</b> _____  <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only</b>		<b>Authorized for Local Reproduction</b> <b>Standard Form - LLL (Rev. 7-97)</b>

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

---

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

---

## Appendix C: Statute and Definitions

---

### ***Program Statute***

#### ***Title I, Part B, Subpart 4,***

#### ***Sec. 1251. Improving Literacy Through School Libraries.***

(a) **PURPOSES-** The purpose of this subpart is to improve literacy skills and academic achievement of students by providing students with increased access to up-to-date school library materials, a well-equipped, technologically advanced school library media center, and well-trained, professionally certified school library media specialists.

(b) **RESERVATION-** From the funds appropriated under section 1002(b)(4) for a fiscal year, the Secretary shall reserve--

(1) one-half of 1 percent to award assistance under this section to the Bureau of Indian Affairs to carry out activities consistent with the purpose of this subpart; and

(2) one-half of 1 percent to award assistance under this section to the outlying areas according to their respective needs for assistance under this subpart.

(c) **GRANTS-**

(1) **COMPETITIVE GRANTS TO ELIGIBLE LOCAL EDUCATIONAL AGENCIES-** If the amount of funds appropriated under section 1002(b)(4) for a fiscal year is less than \$100,000,000, then the Secretary shall award grants, on a competitive basis, to eligible local educational agencies under subsection (e).

(2) **FORMULA GRANTS TO STATES-** If the amount of funds appropriated under section 1002(b)(4) for a fiscal year equals or exceeds \$100,000,000, then the Secretary shall award grants to State educational agencies from allotments under subsection (d).

(3) **DEFINITION OF ELIGIBLE LOCAL EDUCATIONAL AGENCY-** In this section the term eligible local educational agency' means--

(A) in the case of a local educational agency receiving assistance made available under paragraph (1) a local educational agency in which 20 percent of the students served by the local educational agency are from families with incomes below the poverty line; and

(B) in the case of a local educational agency receiving assistance from State allocations made available under paragraph (2), a local educational agency in which--

(i) 15 percent of the students who are served by the local educational agency are from such families; or



(ii) the percentage of students from such families who are served by the local educational agency is greater than the statewide percentage of children from such families.

(d) STATE GRANTS-

(1) ALLOTMENTS- From funds made available under subsection (c)(2) and not reserved under subsections (b) and (j) for a fiscal year, the Secretary shall allot to each State educational agency having an application approved under subsection (f)(1) an amount that bears the same relation to the funds as the amount the State educational agency received under part A for the preceding fiscal year bears to the amount all such State educational agencies received under part A for the preceding fiscal year, to increase literacy and reading skills by improving school libraries.

(2) COMPETITIVE GRANTS TO ELIGIBLE LOCAL EDUCATIONAL AGENCIES- Each State educational agency receiving an allotment under paragraph (1) for a fiscal year--

(A) may reserve not more than 3 percent of the allotted funds to provide technical assistance, disseminate information about school library media programs that are effective and based on scientifically based research, and pay administrative costs related to activities under this section; and

(B) shall use the allotted funds that remain after making the reservation under subparagraph (A) to award grants, for a period of 1 year, on a competitive basis, to eligible local educational agencies in the State that have an application approved under subsection (f)(2) for activities described in subsection (g).

(3) REALLOTMENT- If a State educational agency does not apply for an allotment under this section for any fiscal year, or if the State educational agency's application is not approved, the Secretary shall reallocate the amount of the State educational agency's allotment to the remaining State educational agencies in accordance with paragraph (1).

(e) DIRECT COMPETITIVE GRANTS TO ELIGIBLE LOCAL EDUCATIONAL AGENCIES-

(1) IN GENERAL- From amounts made available under subsection (c)(1) and not reserved under subsections (b) and (j) for a fiscal year, the Secretary shall award grants, on a competitive basis, to eligible local educational agencies that have applications approved under subsection (f)(2) for activities described in subsection (g).

(2) DURATION- The Secretary shall award grants under this subsection for a period of 1 year.

(3) DISTRIBUTION- The Secretary shall ensure that grants under this subsection are equitably distributed among the different geographic regions of the United States, and among local educational agencies serving urban and rural areas.

(f) APPLICATIONS-

(1) STATE EDUCATIONAL AGENCY- Each State educational agency desiring assistance under this section shall submit to the Secretary an application at such time, in such manner, and containing such information as the Secretary shall require. The application shall contain a description of--

(A) how the State educational agency will assist eligible local educational agencies in meeting the requirements of this section and in using scientifically based research to implement effective school library media programs; and

(B) the standards and techniques the State educational agency will use to evaluate the quality and impact of activities carried out under this section by eligible local educational agencies to determine the need for technical assistance and whether to continue to provide additional funding to the agencies under this section.

(2) **ELIGIBLE LOCAL EDUCATIONAL AGENCY-** Each eligible local educational agency desiring assistance under this section shall submit to the Secretary or State educational agency, as appropriate, an application at such time, in such manner, and containing such information as the Secretary or State educational agency, respectively, shall require. The application shall contain a description of--

(A) a needs assessment relating to the need for school library media improvement, based on the age and condition of school library media resources, including book collections, access of school library media centers to advanced technology, and the availability of well-trained, professionally certified school library media specialists, in schools served by the eligible local educational agency;

(B) the manner in which the eligible local educational agency will use the funds made available through the grant to carry out the activities described in subsection (g);

(C) how the eligible local educational agency will extensively involve school library media specialists, teachers, administrators, and parents in the activities assisted under this section, and the manner in which the eligible local educational agency will carry out the activities described in subsection (g) using programs and materials that are grounded in scientifically based research;

(D) the manner in which the eligible local educational agency will effectively coordinate the funds and activities provided under this section with Federal, State, and local funds and activities under this subpart and other literacy, library, technology, and professional development funds and activities; and

(E) the manner in which the eligible local educational agency will collect and analyze data on the quality and impact of activities carried out under this section by schools served by the eligible local educational agency.

(g) **LOCAL ACTIVITIES-** Funds under this section may be used to--

(1) acquire up-to-date school library media resources, including books;

(2) acquire and use advanced technology, incorporated into the curricula of the school, to develop and enhance the information literacy, information retrieval, and critical thinking skills of students;

(3) facilitate Internet links and other resource-sharing networks among schools and school library media centers, and public and academic libraries, where possible;

(4) provide professional development described in section 1222(d)(2) for school library media specialists, and activities that foster increased collaboration between school library media specialists, teachers, and administrators; and

(5) provide students with access to school libraries during nonschool hours, including the hours before and after school, during weekends, and during summer vacation periods.

**(h) ACCOUNTABILITY AND REPORTING-**

(1) **LOCAL REPORTS-** Each eligible local educational agency that receives funds under this section for a fiscal year shall report to the Secretary or State educational agency, as appropriate, on how the funding was used and the extent to which the availability of, the access to, and the use of, up-to-date school library media resources in the elementary schools and secondary schools served by the eligible local educational agency was increased.

(2) **STATE REPORT-** Each State educational agency that receives funds under this section shall compile the reports received under paragraph (1) and submit the compiled reports to the Secretary.

(i) **SUPPLEMENT, NOT SUPPLANT-** Funds made available under this section shall be used to supplement, and not supplant, other Federal, State, and local funds expended to carry out activities relating to library, technology, or professional development activities.

**(j) NATIONAL ACTIVITIES-**

(1) **EVALUATIONS-** From the funds appropriated under section 1002(b)(4) for each fiscal year, the Secretary shall reserve not more than 1 percent for annual, independent, national evaluations of the activities assisted under this section and their impact on improving the reading skills of students. The evaluations shall be conducted not later than 3 years after the date of enactment of the No Child Left Behind Act of 2001, and biennially thereafter.

(2) **REPORT TO CONGRESS-** The Secretary shall transmit the State reports received under subsection (h)(2) and the evaluations conducted under paragraph (1) to the Committee on Health, Education, Labor, and Pensions of the Senate and the Committee on Education and the Workforce of the House of Representatives.

## ***Definitions***

The following definitions apply to this program:

*"Eligible local education agency"*: A local educational agency in which at least 20 per cent of the students served by the local educational agency are from families with incomes below the poverty line.

Note: this percentage is NOT equivalent to the percent of students eligible for free and reduced lunch.

### **Section 9101(37) of the ESEA**

*"Scientifically based research"*

(A) means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs; and

(B) includes research that —

(i) employs systematic, empirical methods that draw on observation or experiment;

(ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;

(iii) relies on measurements or observational methods that provide reliable and valid data across evaluators and observers, across multiple measurements and observations, and across studies by the same or different investigators;

(iv) is evaluated using experimental or quasi-experimental designs in which individuals, entities, programs, or activities are assigned to different conditions and with appropriate controls to evaluate the effects of the condition of interest, with a preference for random-assignment experiments, or other designs to the extent that those designs contain within-condition or across-condition controls;

(v) ensures that experimental studies are presented in sufficient detail and clarity to allow for replication or, at a minimum, offer the opportunity to build systematically on their findings; and

(vi) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

### **Section 1222 (d) (2) of the ESEA**

#### ***Professional Development***

d) **AUTHORIZED ACTIVITIES-** An eligible applicant that receives a grant under this subpart shall use the funds provided under the grant to carry out the following activities:

(2) Providing professional development that is based on scientifically based reading research knowledge of early language and reading development for the staff of the eligible applicant and that will assist in developing the preschool age children's —

- (A) recognition, leading to automatic recognition, of letters of the alphabet, knowledge of letters, sounds, blending of letter sounds, and increasingly complex vocabulary;
- (B) understanding that written language is composed of phonemes and letters each representing one or more speech sounds that in combination make up syllables, words, and sentences;
- (C) spoken language, including vocabulary and oral comprehension abilities; and
- (D) knowledge of the purposes and conventions of print.

Please note: A notice of final clarification of eligible local activities was published in the April 5, 2004 issue of the Federal Register on pages 17893-17895.

# **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

(If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you. ) If you fail to receive the notification of application receipt within fifteen (15) days from the closing date call:

**U.S. Department of Education  
Application Control Center  
(202) 245-6288**

**(If your application is late, we will notify you that we will not consider the application.)**

## ***GRANT AND CONTRACT FUNDING INFORMATION***

The Department of Education provides information about grant and contract opportunities electronically in several ways:

**ED Internet Home Page**      <http://www.ed.gov>

**OCFO Web Page Internet**      <http://www.ed.gov/about/offices/list/ocfo/>

**OCFO Contracts Page**  
<http://www.ed.gov/about/offices/list/ocfo/contracts/contracts.html>